

D eclaration For U.S. Patent Application

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

(Insert Title) **BIOLOGICALLY ACTIVE PEPTIDES AND COMPOSITIONS, THEIR USE**

the specification of which is attached hereto unless the following box is checked:

- ☐ was filed on April 22, 1996 as United States Application Number or PCT International Application Number PCT/GB96/00042 and was amended on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claim(s), as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 C.F.R. §1.56.

I hereby claim foreign priority benefits under 35 U.S.C. §119(a)-(d) or §365(b) of any foreign application(s) for patent or inventor's certificate, or §365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below any foreign application for patent or inventor's certificate or PCT International Application having a filing date before that of the application(s) for which priority is claimed:

(List prior foreign applications. See item A on back of this page)	<u>9608195.6</u>	<u>GB</u>	<u>20/1/95</u>	Priority Claimed
	(Number)	(Country)	(Day/Month/Year Filed)	<input type="checkbox"/> Yes <input type="checkbox"/> No
	<u></u>	<u></u>	<u></u>	<input type="checkbox"/> Yes <input type="checkbox"/> No
	(Number)	(Country)	(Day/Month/Year Filed)	<input type="checkbox"/> Yes <input type="checkbox"/> No

I hereby claim the benefit under 35 U.S.C. §119(e) of any United States provisional application(s) listed below.

<u></u>	<u></u>
(Application Number)	(Filing Date)
<u></u>	<u></u>
(Application Number)	(Filing Date)

(See Note B on back of this page)

- ☐ See attached list for additional prior foreign or provisional applications.

I hereby claim the benefit under 35 U.S.C. §120 of any United States application(s) or §365(c) of any PCT International application(s) designating the United States of America listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior application(s) (U.S. or PCT) in the manner provided by the first paragraph of 35 U.S.C. §112, I acknowledge the duty to disclose information which is material to patentability as defined in 37 C.F.R. §1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application.

(List prior U.S. Application or PCT International application designating the U.S.)	<u></u>	<u></u>	<u></u>
	(Application Serial No.)	(Filing Date)	(Status) (patented, pending, abandoned)
	<u></u>	<u></u>	<u></u>
	(Application Serial No.)	(Filing Date)	(Status) (patented, pending, abandoned)

And I hereby appoint as principal attorneys David T. Nikido, Reg. No. 22,663; Charles M. Marmelestein, Reg. No. 25,886; George E. Oram, Jr., Reg. No. 27,931; Robert E. Murray, Reg. No. 22,980; Martin S. Postman, Reg. No. 19,570; E. Marcio Emsa, Reg. No. 32,131; Douglas H. Goldsmith, Reg. No. 33,123; Kevin C. Brown, Reg. No. 32,422; Marcos Chin Kila, Reg. No. 36,105; and Richard J. Berman, Reg. No. 39,107.

Please direct all communications to the following address:

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Washington, D.C. 20005-6701
(202) 638-5000 Fax: (202) 638-4010

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true, and further, that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

(See Note C on back of this page)

Full name of sole or first inventor: Raymond ANDERSEN

Inventor's signature R. Andersen

Residence: c/o University of British Columbia, Dept. of Chemistry, Vancouver, British Columbia V6T 1Z4
Canada

Citizenship: Canada

Post Office Address: Same as above

(Pres original)

Full name of second joint inventor, if any: John COLEMAN

Inventor's signature

John Coleman

Nov 19, 1997

Date

Residence: c/o University of British Columbia, Dept. of Chemistry & Oceanography, Vancouver, British Columbia V6T 1Z4 Canada

Citizenship: Canada

Post Office Address: Same as above

Full name of third joint inventor, if any: Diép DE SILVA

Inventor's signature

Residence: c/o University of British Columbia, Dept. of Chemistry, Vancouver, British Columbia V6T 1Z4 Canada

Citizenship: Canada

Post Office Address: Same as above

Full name of fourth joint inventor, if any: Fengming KONG

Inventor's signature

Residence: c/o University of British Columbia, Dept. of Chemistry, Vancouver, British Columbia V6T 1Z4 Canada

Citizenship: Canada

Post Office Address: Same as above

Full name of fifth joint inventor, if any: Edward PIERS

Inventor's signature

Edward Piers

Nov. 19, 1997

Date

Residence: c/o University of British Columbia, Dept. of Chemistry, Vancouver, British Columbia V6T 1Z4 Canada

Citizenship: Canada

Post Office Address: Same as above

Full name of sixth joint inventor, if any: Debra WALLACE

Inventor's signature

Debra Wallace

Nov 21, 1997

Date

Residence: c/o University of British Columbia, Dept. of Chemistry, Vancouver, British Columbia V6T 1Z4 Canada

Citizenship: Canada

Post Office Address: Same as above

Full name of seventh joint inventor, if any: Michel ROBERGE

Inventor's signature

Michel Roby

Nov. 19, 1997

Date

Residence: c/o University of British Columbia, Dept. of Biochemistry, Vancouver, British Columbia V6T 1Z4 Canada

Citizenship: Canada

Post Office Address: Same as above

Full name of eighth joint inventor, if any: Teresa ALLEN

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Residence: 11223 72nd Avenue, Edmonton, Alberta T6G 0B4, Canada

Citizenship: Canada

Post Office Address: Same as above

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Full name of second joint inventor, if any: John COLEMAN

Inventor's signature

John Coleman

Nov 19, 1997

Date

Residence: c/o University of British Columbia, Dept. of Chemistry & Oceanography, Vancouver, British Columbia V6T 1Z4 Canada

Citizenship: Canada

Post Office Address: Same as above

Full name of third joint inventor, if any: Dilip DE SILVA

Inventor's signature

Dilip De Silva

Nov. 25, 1997

Date

Residence: c/o University of British Columbia, Dept. of Chemistry, Vancouver, British Columbia V6T 1Z4 Canada

Citizenship: Canada

Post Office Address: Same as above

Full name of fourth joint inventor, if any: Fangming KONG

Inventor's signature

Date

Residence: c/o University of British Columbia, Dept. of Chemistry, Vancouver, British Columbia V6T 1Z4 Canada

Citizenship: Canada

Post Office Address: Same as above

Full name of fifth joint inventor, if any: Edward PIERS

Inventor's signature

Edward Piers

Nov. 19, 1997

Date

Residence: c/o University of British Columbia, Dept. of Chemistry, Vancouver, British Columbia V6T 1Z4 Canada

Citizenship: Canada

Post Office Address: Same as above

Full name of sixth joint inventor, if any: Debra WALLACE

Inventor's signature

Date

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Citizenship: Canada

Post Office Address: Same as above

Full name of seventh joint inventor, if any: Michel ROBERGE

Inventor's signature

Michel Robyge

Nov. 19, 1997

Date

Residence: c/o University of British Columbia, Dept. of Biochemistry, Vancouver, British Columbia V6T 1Z4 Canada

Citizenship: Canada

Post Office Address: Same as above

Full name of eighth joint inventor, if any: Teresa ALLEN

Inventor's signature

Date

Residence: 11223 72nd Avenue, Edmonton, Alberta T6G 0B4, Canada

Citizenship: Canada

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Full name of second joint inventor, if any: John COLEMAN

Inventor's signature

J Coleman

Nov 19, 1997

Date

Residence: c/o University of British Columbia, Dept. of Chemistry & Oceanography, Vancouver, British Columbia V6T 1Z4 Canada

Citizenship: Canada

Post Office Address: Same as above

Full name of third joint inventor, if any: Dely DE SILVA

Inventor's signature

Residence: c/o University of British Columbia, Dept. of Chemistry, Vancouver, British Columbia V6T 1Z4 Canada

Citizenship: Canada

Post Office Address: Same as above

Full name of fourth joint inventor, if any: Fongming KONG

Inventor's signature

Fongming Kong

Nov. 19, 1997

Date

Residence: c/o University of British Columbia, Dept. of Chemistry, Vancouver, British Columbia V6T 1Z4 Canada

Citizenship: Canada

Post Office Address: Same as above

Full name of fifth joint inventor, if any: Edward PIERS

Inventor's signature

Edward Piers

Nov. 19, 1997

Date

Residence: c/o University of British Columbia, Dept. of Chemistry, Vancouver, British Columbia V6T 1Z4 Canada

Citizenship: Canada

Post Office Address: Same as above

Full name of sixth joint inventor, if any: Debra WALLACE

Inventor's signature

Residence: c/o University of British Columbia, Dept. of Chemistry, Vancouver, British Columbia V6T 1Z4 Canada

Citizenship: Canada

Post Office Address: Same as above

Full name of seventh joint inventor, if any: Michel ROBERGE

Inventor's signature

Michel Roberge

Nov. 19, 1997

Date

Residence: c/o University of British Columbia, Dept. of Biochemistry, Vancouver, British Columbia V6T 1Z4 Canada

Citizenship: Canada

Post Office Address: Same as above

Full name of eighth joint inventor, if any: Teresa ALLEN

Inventor's signature

Residence: 11223 72nd Avenue, Edmonton, Alberta T6G 0B4, Canada

Citizenship: Canada

Post Office Address: Same as above

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Full name of second joint inventor, if any: John COLEMAN

Inventor's signature

J.E. Coleman

Nov 19, 1997

Date

Residence: c/o University of British Columbia, Dept. of Chemistry & Geology, Vancouver, British Columbia V6T 1Z4 Canada

Citizenship: Canada

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Full name of third joint inventor, if any: Dilip DE SILVA

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Residence: c/o University of British Columbia, Dept. of Chemistry, Vancouver, British Columbia V6T 1Z4 Canada

Citizenship: Canada

Post Office Address: Same as above

Full name of fourth joint inventor, if any: Fangming KONG

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Residence: c/o University of British Columbia, Dept. of Chemistry, Vancouver, British Columbia V6T 1Z4 Canada

Citizenship: Canada

Post Office Address: Same as above

Full name of fifth joint inventor, if any: Edward PIERRE

Inventor's signature

Edward Piers

Nov. 19, 1997

Date

Residence: c/o University of British Columbia, Dept. of Chemistry, Vancouver, British Columbia V6T 1Z4 Canada

Citizenship: Canada

Post Office Address: Same as above

Full name of sixth joint inventor, if any: Debra WALLACE

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Residence: c/o University of British Columbia, Dept. of Chemistry, Vancouver, British Columbia V6T 1Z4 Canada

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Full name of seventh joint inventor, if any: Michel ROBERGE

Inventor's signature

Michel Roby

Nov. 19, 1997

Date

Residence: c/o University of British Columbia, Dept. of Biochemistry, Vancouver, British Columbia V6T 1Z4 Canada

Citizenship: Canada

Post Office Address: Same as above

Full name of eighth joint inventor, if any: Teresa ALLEN

Inventor's signature

T. Allen

Nov 21/97

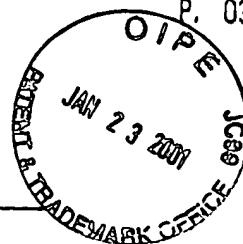
Date

Residence: 11223 72nd Avenue, Edmonton, Alberta T6S 0B4, Canada

Citizenship: Canada

Post Office Address: Same as above

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SMALL ENTITY DECLARATION

APPLICANT OR PATENTEE ANDERSEN et al
 SERIAL NO. 09/930,634 ☐ PATENT NO. ATTORNEY'S DOCKET NO. P6201-8002

XX 1. FILED OR ISSUED February 2, 1998

2. SUBMITTED HERewith
 FOR BIOLOGICALLY ACTIVE PEPTIDES AND COMPOSITIONS, THEIR USE
 (Insert Title)

I (we) hereby declare that I (we) am (are) entitled to the benefit of small entity status with respect to the above-identified application or patent for purposes of paying reduced fees under 35 U.S.C. §§41(a) and (b) to the U.S. Patent and Trademark Office.

- ☐ A. INDEPENDENT INVENTOR
I (we) qualify as (an) independent inventor(s) as defined in 37 C.F.R. §1.9(c).
- ☐ B. INDIVIDUAL NON-INVENTOR
I (we) would qualify as (an) independent inventor(s) as defined in 37 C.F.R. §1.9(c) if I (we) had made the invention.
- ☐ C. SMALL BUSINESS CONCERN
I am ☐ THE OWNER ☐ AN OFFICIAL of the small business concern identified below and am empowered to act on behalf of the concern. The concern qualifies under 37 C.F.R. §1.9(d) and 13 C.F.R. §121.3-18. Rights under contract or law have been conveyed to and remain with the concern. The rights held by the concern are exclusive unless a checkmark is placed here ☐. All other rights belong to small entities as defined in 37 C.F.R. §1.9.

XX D. NON-PROFIT ORGANIZATION
 I am an official empowered to act on behalf of the non-profit organization identified below. The organization qualifies under 37 C.F.R. §1.9(e), subsection: ☒ (1) ☐ (2) ☐ (3) ☐ (4). Rights under contract or law have been conveyed to and remain with the organization. The rights held by the organization are exclusive unless a checkmark is placed here ☐. All other rights belong to small entities as defined in 37 C.F.R. §1.9.

I (we) acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate [37 C.F.R. §1.28(b)].

I (we) declare under penalty of perjury under the laws of the United States of America that the foregoing is true and correct.

A. INDEPENDENT INVENTOR(S) B. INDIVIDUAL NON-INVENTOR(S)

Name	Signature	Date
Name	Signature	Date
Name	Signature	Date

C. BUSINESS CONCERN D. NON-PROFIT ORGANIZATION

The University of British Columbia
 Name of Concern or Organization
Richard D. Spratley
 By Director, Research Services
 Name of Person Signing
 Title

IRC Room 331-2194 HEALTH SCIENCES MALC
 VANCOUVER B.C. V6T 1Z3
 Signature [Signature]
 APR 08 1999
 Date

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SMALL ENTITY DECLARATION

APPLICANT OR PATENTEE ANDERSEN, L.A.
 SERIAL NO. 08/030,594 ☐ PATENT NO. ATTORNEY'S DOCKET NO. P8281-0002
 XX 1 FILED OR ISSUED February 2, 1999

2. SUBMITTED HERewith FOR BIOLOGICALLY ACTIVE PEPTIDES AND COMPOSITIONS, THEIR USE
 (Insert Title)

I (we) hereby declare that I (we) am (are) entitled to the benefit of small entity status with respect to the above-identified application or patent for purposes of paying reduced fees under 35 U.S.C. §§41(a) and (b) to the U.S. Patent and Trademark Office.

- ☐ A. **INDEPENDENT INVENTOR**
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- ☐ B. **INDIVIDUAL NON-INVENTOR**
 I (we) would qualify as (an) independent inventor(s) as defined in 37 C.F.R. §1.9(c) if I (we) had made the invention.
- ☐ C. **SMALL BUSINESS CONCERN**
 I am ☐ THE OWNER ☐ AN OFFICIAL of the small business concern identified below and am empowered to act on behalf of the concern. The concern qualifies under 37 C.F.R. §1.9(d) and 13 C.F.R. §121.3-18. Rights under contract or law have been conveyed to and remain with the concern. The rights held by the concern are exclusive unless a checkmark is placed here ☐. All other rights belong to small entities as defined in 37 C.F.R. §1.9.
- ☒ D. **NON-PROFIT ORGANIZATION**
 I am an official empowered to act on behalf of the non-profit organization identified below. The organization qualifies under 37 C.F.R. §1.9(a), subsection: ☒ (1) ☐ (2) ☐ (3) ☐ (4). Rights under contract or law have been conveyed to and remain with the organization. The rights held by the organization are exclusive unless a checkmark is placed here ☒. All other rights belong to small entities as defined in 37 C.F.R. §1.9.

I (we) acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate [37 C.F.R. §1.26(b)].

I (we) declare under penalty of perjury under the laws of the United States of America that the foregoing is true and correct.

A. INDEPENDENT INVENTOR(S) B. INDIVIDUAL NON-INVENTOR(S)

_____ Name	_____ Signature	_____ Date
_____ Name	_____ Signature	_____ Date
_____ Name	_____ Signature	_____ Date

C. BUSINESS CONCERN D. NON-PROFIT ORGANIZATION

The University of Alberta
 Name of Concern or Organization

222 CANADIAN TOWER, 8025-112 ST. EDMONTON, AB, CANADA, T6C 2E1
 Address

By _____
 Name of Person Signing

Laine Woollard
 Signature

 Title

April 8, 1999
 Date

Not a U.S. Citizen (Print)

LAINE WOOLLARD, B.Sc. (PHARM), LL.B.
 BARRISTER AND SOLICITOR, NOTARY PUBLIC
 INTELLECTUAL PROPERTY AND LEGAL MANAGER
 INDUSTRY LIAISON OFFICE, U OF A

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